**Ronald E. McNair Postbaccalaureate Achievement (McNair) Program
Instructions for Completing the Annual Performance Report
For Program Year 2003-2004**

1.   **WHAT IS THIS PACKAGE?**

This package contains the forms and instructions needed to prepare the annual performance report for the Ronald E. McNair Postbaccalaureate Achievement (McNair) Program. The Department of Education uses the information provided in the performance report to assess a grantee's progress in meeting its approved goals and objectives and to determine a grantee's prior experience points in accordance with the program regulations (34 CFR 647).

2.   **WHAT ARE THE LEGISLATIVE AND REGULATORY AUTHORITIES TO COLLECT THIS INFORMATION?**

Title IV, Section 402E, of the Higher Education Act of 1965, as amended (Public Law 102-325), the program regulations in 34 CFR Part 647; and sections 75.590, and 75.720 of the Education Department General Administrative Regulations (EDGAR) permit the collection of this information.

3.   **WHO MUST FILE THIS REPORT?**

All grantees funded under the McNair Program must submit an annual performance report as a condition of grant award.

4.   **WHAT PERIOD OF TIME IS COVERED IN THE REPORT?**

The individual participant information provided in the report should cover the 12-month academic year of the grantee institution that most closely aligns with the 12-month budget year for the grant that is found in Block 6 of the Grant Award Notification. The 2003-04 academic year is roughly August/September 2003 through August 2004.

5.   **WHEN SHOULD THE REPORT BE FILED?**

The annual report should be submitted within 90 days after the end of each 12-month grant (budget) period.

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6.   **WHAT INFORMATION MUST BE SUBMITTED?**

The report consists of three sections. Section I requests project identifying information; Section II requests an electronic file of individual participant records; and Section III requests information related to the prior experience criteria.

7.   **HOW MAY THE REPORT BE SUBMITTED?**

The entire report must be submitted via the World Wide Web. In addition, you must submit, via fax, a signed copy of Section I of the report form that certifies that the information submitted electronically is accurate, complete, and readily verifiable. The signed copy of Section I only must be faxed to the following fax number: (703) 991-0260.

The Web application and instructions for submitting the report electronically will be available on December 1, 2004, at the following web address:

http://www.ed.gov/programs/triomcnair/performance.html

The Web site contains the forms and instructions needed to prepare and submit online the annual performance report for the McNair Program. The Web application grantees will use to submit the annual performance report has the following features:

- Instructions for using the Web site;
- A Web form for completing Sections I on-line;
- Functionality to upload an electronic file with the individual participant records (Section II); Grantees may also choose to continue to use the revised self-installing Visual Basic software application to collect the required information and prepare the data file.
- A Web form that permits grantees to enter information directly relative to the Prior Experience Criteria in Section III. The narrative summary of project performance outcomes (formerly Section IV Prior Experience) has been discontinued. The new configuration allows grantees to enter specific information on the accomplishment of approved objectives relative to the prior experience criteria contained in the program regulations (35 CFR 647.22) in both percentages and numbers. Additional narrative on other objectives or items of interest that the grantee chooses to include may be entered in the text box at the end of Section III**.**
- A print button to make a hard copy of the information entered;

- A submit button to send the entire report to the Department of Education; and
- An e-mail confirmation that the report has been submitted (if an e-mail address is provided when completing Section I).

Since the data being submitted contain confidential information on project participants, the Web site has been properly secured to ensure the data are only seen by authorized individuals and are protected from network hackers.

If for any reason you need to revise the performance report submission, please contact your assigned program specialist before re-submitting. A state listing of program specialist names, telephone numbers, and e-mail addresses is available at the Web address provided above.

8. **WHO MAY BE CONTACTED FOR ADDITIONAL INFORMATION CONCERNING THE SUBMISSION OF THE PERFORMANCE REPORT?**

Please contact your program specialist directly if you have questions regarding the performance report requirements. A state listing of program specialist names, telephone numbers, and e-mail addresses is available at the Web address provided above.

If you have any technical problems accessing the Web site or using the Web application, please contract the Help Desk by either telephone (703) 846-8233, ext. 247, or e-mail at MCNWEB@cbmiweb.com.

**Ronald E. McNair Postbaccalaureate Achievement (McNair) Program
Specific Instructions for Completing the Performance Report**

SECTION I: PROJECT IDENTIFICATION, CERTIFICATION, AND WARNING

A.   Identification

1.   To begin completing this report online, from the Department's Web page you will need to click this URL: https://webprod.cbmiweb.com/mcnair/

2.   The index/welcome page will be titled "McNair Online Annual Performance Report for Program Year 2003-2004." In the upper right hand corner of the page, enter the last six digits of your PR/Award number. Your project's PR/Award number begins with the letter "P" and is eleven digits in length. This number can be found in Block 5 of the Grant Award Notification.

3.   You will also need to enter the temporary password that the Department of Education has provided via U.S. mail and e-mail. Click Login. You will be guided to select a new password, then to log in again.

4.   You will be asked to confirm that the PR/Award number and associated grantee name are correct; you will then see the page for Section I. Your PR/Award number will be automatically inserted into line 1 of Section I of the report form.

5.   The system will also pre-populate most of the other data fields in Section I. Please review the pre-populated fields, including the project director's telephone number, fax number and e-mail address, and update these fields as needed. You may change the data in all fields except for the project's PR/Award Number, the Grantee Name and the Report Period.

6.   Please provide information for any fields that are not pre-populated.

B.   Certification

You must submit via fax, a signed copy of Section I of the report form that certifies that the information submitted electronically is readily verifiable and that the information reported is accurate and complete to the best of your knowledge. Section I must be signed by the project director and the certifying representative for the grantee institution.

With the exception of Section I of the report, you should <u>not</u> submit a paper copy of the performance report.

C.   Warnings

<u>Any person who knowingly makes a false statement or misrepresentation on this report is subject to penalties which may include fines, imprisonment, or both, under the United States Criminal Code and 20 U.S.C.1097.</u>

Further Federal funds or other benefits may be withheld under these programs unless this report is completed and filed as required by existing law (20 U.S.C. 1231a) and regulations (34 CFR 75.590 and 75.720).

SECTION II: PARTICIPANT LIST

Each grantee is required to submit **annually** detailed information on each student served by the project during the academic year being reported as well as provide updated information on prior year participants. **A project must track the progress of prior-year participants until they (1) obtain the doctoral (or other first-professional) degree; (2) formally withdraw from graduate or undergraduate studies; or (3) have not enrolled in graduate or undergraduate studies for at least one term in the last five years**. The data file thus should contain a complete listing of current- and prior-year project participants.

Please note that the record structure for the Participant List has been reordered to add some new fields, revise and refine/reconfigure some current fields, and place the data fields in a logical sequence. For example, field #1 (PR/Award Number) has been moved to capture identifying project information at the beginning of the record structure rather than at the end. The byte count in fields #5 Student's Last Name and #6 Student's First Name has been increased to allow for accurate reporting of students' complete names. We have also added or revised fields to obtain information on the enrollment status of participants, degrees earned, field/major of graduate study, and grade point average at completion of bachelor's degree. Further, to obtain a profile of the types of services participants received; we have added new fields (#26 – 39) to capture service information by individual participant. Previously, these data were reported in the aggregate in Section III of the previous version of the report form.

Please note that the data file you submit for 2003-04 must conform to the specifications of the new record structure. Data files in other old format will not be accepted.

Fields # 1 – 25 and 40-41 should be completed or updated as needed for all current and prior-year participants.

Fields # 26 - 39 should be completed only for those project participants who received these services from the McNair project during the current (2003-04) reporting period.

General Instructions for the Participant List

(1)   Who should be included on the annual data file?

The data file should include one record for all current and prior-year participants served since the inception of the project at the grantee institution. **A project must track the progress of prior-year participants until they (1) obtain the doctoral (or other first professional) degree; (2) formally withdraw from graduate or undergraduate**

studies; or (3) have not enrolled in graduate or undergraduate studies for at least one term in the last five years. This change in the tracking requirements will relieve projects of the burden of updating participant records for individuals who have not been enrolled in graduate or undergraduate studies for the last five years. However, the participant record for these individuals should still be maintained on the data file, even though the data has not been updated.

(2)   How should participant's status (new, continuing, or prior year), current grade level, and enrollment status be reported?

When preparing the data file, please note the following clarifications regarding how to report a participant's status (new, continuing, or prior year), current grade level, and enrollment status.

Since the Department of Education needs to be able to track the academic progress of McNair participants from one academic year to the next, the performance report needs to follow the 12-month academic year of the grantee institution instead of the 12-month budget/project year for the grant. For example, the 2003-2004 academic year is roughly August/September 2003 through August 2004 while the budget/project year for most McNair grants is October 1, 2003, through September 30, 2004. **Therefore, to ensure consistency in data reporting, please provide information on a participant's status (field #16), current grade level (field #18) and enrollment status (field #19) based on the "academic year" not the project's budget/project year. For this report, the academic year being reported is from the fall 2003 term through the end of the summer term 2004.** For example, a McNair student served for the first time by the project during the fall 2003 semester should be reported as a "new participant" in field #16. That same student's current college grade level (field #18) should reflect the student's grade level as of the end of the academic year being reported, and the enrollment status (field #19) should reflect whether or not the student was enrolled at least one term during the academic year.

Instructions for Completing the Date Fields (Fields #8, #14, #15, and #22)

Please follow carefully the instructions provided in Section II. Review carefully the Valid Field Content column to ensure that the data submitted is in the correct format. It is extremely important that all date fields be 8 bytes and formatted as follows: 2 digits for month; 2 digits for day; 2 digits for century; and 2 digits for year. For example, a participant's birth date of January 1, 1982, would be formatted as follows: 01011982. Always use the zero before one-digit months and days.

Please make every effort to provide accurate dates. If you find it necessary to estimate a date, please do not use "00s." Rather, use 15 for the day and your best estimate for the month. If date is unknown, insert all zeros.

SUPPLEMENTAL DEFINITIONS AND INSTRUCTIONS FOR SPECIFIC FIELDS

Field #1   PR/Award Number

A grantee should use the PR/Award Number applicable to the project (budget) period covered by this report. This number can be found in Block 5 of the Grant Award Notification. Be sure that you use the PR/Award Number applicable to the reporting year even if you have been awarded a new grant and PR/Award Number for the next reporting period.

Please note that the PR/Award Number is eleven (11) digits. Please be sure you use "zeros" instead "Os" when entering the PR/Award Number into your database.

Field #2   Batch Year

Use the four-digit year provided on the form. This number will change with each year's submission. The Batch Year designates the fiscal year funding for the project period reported. TRIO grants are forward-funded. Therefore, as an example, fiscal year 2003 funds would be used to support project activities in the 2003-2004 program year. Thus, the data file for Batch Year 2003 would include information on project participants served or tracked during academic year 2003-2004.

Field #3   Record Updated

This field has been added to assist us in quickly identifying whether or not you have been successful in tracking the academic progress of prior participants for this reporting period. For new participant records added to the data file for this reporting period, select "1" for "Yes." For prior-year participants, select "1" for "Yes" if you have updated and/or verified the applicable data fields for this reporting period based on information received from the student (or the postsecondary institution); select "2" for "No" if you have not received updated information for the reporting year.

Field #4   Social Security Number (SSN)

SSNs are very important as they assist the Department in tracking participant outcomes over multiple years and facilitate matching of participant records with other databases. If a project does not know the SSN for a student, please enter "0s" rather than providing other forms of identification numbers.

Field #10   Race/Ethnicity

The race/ethnicity categories used in this section are consistent with the Department of Education's policy on the collection of racial and ethnic information. These categories are defined as follows: **American Indian or Alaska Native** - A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliations or community recognition. **Asian** - A person having origins in any of the original peoples of the Far East, Southeast Asia, and the Indian subcontinent. This area includes, for example, China, India, Japan, Korea, and the Philippines.

Black or African American - A person having origins in any of the black racial groups of Africa. **Hispanic or Latino** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race. **White** - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East. **Native Hawaiian or Other Pacific Islander** – A person having origins in any of the original peoples of Hawaii or other pacific islands such as Samoa and Guam. For those participants of a multi-racial background, include them in C7 for **more than one race reported**.

Fields #11, 12, and 13   Eligibility

The statute and regulations governing the McNair program require that an eligible project participant must be a "low-income individual who is a first-generation college student" or a "member of a group that is underrepresented in graduate education" (definitions are provided below). At least two-thirds of project participants each year must be both low-income and first-generation college students; the remaining participants can be members of groups underrepresented in graduate education.

Previously, participant eligibility was captured in one data field. We have expanded this to three fields to allow for the analysis of project participants by all combinations of eligibility status: low-income and first-generation and underrepresented racial/ethnic group. If you do not collect income and first-generation data on participants who qualify for services as members of groups underrepresented in graduate education, you may enter a zero in fields #11 and #12 to indicate "unknown."

> Low-income individual means an individual whose family's taxable income did not exceed 150 percent of the poverty level amount in the calendar year preceding the year in which the individual initially participated in the project. The poverty level amount is determined using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

> First-generation college student means (1) an individual neither of whose natural or adoptive parents received a baccalaureate degree; or (2) an individual who, prior to the age of 18, regularly resided with and received support from only one parent and whose supporting parent did not receive a baccalaureate degree; or (3) an individual who, prior to the age of 18, did not regularly reside with or receive support from a natural or adoptive parent.

> Groups underrepresented in graduate education currently include the following ethnic and racial groups: Black (non-Hispanic), Hispanic, and American Indian/Alaskan Native.

Field #14   First School Enrollment Date

The "first school enrollment date" is the date the McNair participant first enrolled in a program of postsecondary education. Provide this information for all students served by

the McNair project even if the student did not begin or is not currently enrolled at your institution. The purpose of this data field is to determine the length of time from initial enrollment in postsecondary education through undergraduate, graduate, and doctoral degree completion.

Field #16   Participant Status

For this field, please use the following definitions:

A **new participant** is an individual who was served by the McNair project for the **first time** during the academic year being reported.

A **continuing participant** is an individual who was served by the project for the first time in another academic year and also received project services during the academic year being reported. Do not count as continuing participants, individuals for whom the main contact from the project during this academic period was for tracking purposes; these individuals should be designated as prior-year participants.

Note: The sum of the number of new and continuing participants should equal the total number of participants the projects served during the reporting period.

A **prior-year participant** is an individual who received project services in a previous academic year but who has not received services on a continual basis during the academic year being reported.

Fields #19 and 20   Enrollment Status/Reason Not Enrolled

Field #19 has been added to allow projects to report whether or not the participant was enrolled in postsecondary education for at least one term during the reporting period. A new field #20, Reasons Not Enrolled," allows projects to document the reasons that the student was not enrolled for any period of time during the academic year being reported.

A project must track the progress of prior-year participants until they (1) obtain the doctoral (or other terminal) degree; (2) formally withdraw from graduate or undergraduate studies; or (3) until they have not enrolled in graduate or undergraduate studies at least one term in the last five years. Prior-year participants are defined as those students who received project services in previous grant years but who have not received services on a continual basis during the current reporting period.

Fields #21, 22, and 23   Highest Degree Earned, Date, and Major

Field #21 has been refined to allow the codes to more accurately reflect the degree attainment information. Select the one-digit degree code that indicates the highest degree the participant obtained as of the end of the academic year being reported. You should repeat the highest degree previously reported on this report (and each subsequent report), if no higher degree was earned during the academic year being reported. If the

participant earned a degree in the academic year being reported, update this field appropriately. If the participant has earned more than one degree, report only the highest degree obtained.

New field #22, Date of Highest Degree, will allow for better tracking of changes in student's status relative to degree attainment. If the data is not available for prior-year participants, enter zeros to indicate unknown.

New field #23, Major/field of graduate study, will allow for better reporting of the precise major or field of study the McNair participant undertakes in graduate school (a listing and breakdown of fields of graduate study are provided below).

Physical Sciences include: Astronomy, Atmospheric Sciences and Meteorology, Chemistry, Computer Sciences, Earth Sciences, Environmental Sciences, Geology, Information Sciences, Marine Sciences (including Oceanography), Mathematics (including Mathematical Statistics, Operations Research), Physics

Engineering includes: Aerospace, Biomedical, Civil, Chemical, Computer, Electrical and Electronics, Engineering Technology, Industrial and Manufacturing, Mechanical, Metallurgical and Material, Mining, Nuclear, Structural, Systems

Life Sciences include: Agricultural Sciences, Agricultural Management, Biological Sciences (all fields), Biometrics and Biostatistics, Botany and Other Plant Sciences, Ecology, Forestry, Genetics, Horticultural Sciences, Neuroscience, Nutritional Sciences, Parasitology, Pharmacology, Physiology (Human and Animal), Soil Sciences, Toxicology, Zoology

Health Sciences include: Allied Health Technologies and Services, Health Sciences, Hospital Administration, Kinesiology, Nursing, Pharmacy, Public Health, Rehabilitation Services and Counseling, Speech-Language Pathology and Audiology

Social Sciences include: Anthropology, Area Studies, Communications, Criminology, Demography/Population Studies, Economics/Econometrics, Geography, Journalism, International Relations/Affairs, Political Sciences and Government, Psychology (including Biopsychology), Public Policy, Sociology, Urban Studies/Planning

Humanities include: American Studies, Afro-American Studies, Art and Art History, Classics and Letters, Dance, Films and other Visual Arts, English Literature and Language, Ethnic Studies, Foreign Languages and Literature, History, Home Economics, Interdisciplinary Studies, Linguistics, Music (including Performance), Philosophy, Speech and Rhetorical Studies, Theology and Religious Studies

Education includes: All teaching specialty fields, Education Research, Teacher Education

Business Administration includes: Accounting, Banking, Business Administration/Management, Finances, Industrial Organization, Marketing and Marketing Research, All other Business fields

Medicine, Dentistry, and Other Medical Fields includes: Chiropractic, Dentistry, Medicine (all specialties), Optometry, Podiatry

Law

Other Professional Fields includes: Architecture, Library Sciences, Parks and Recreations, Protective Services, Social Work

Fields #24 and 25   Grade Point Average (GPA)

The new field #24, GPA Scale, will allow for accurate GPA reporting whether on a 4.0 or 5.0 grading scale; and the new field #25, Cumulative GPA, will collect information on a student's academic performance at the time of the attainment of the bachelor's degree. The data in this field should reflect the cumulative GPA of the participant upon graduation with a bachelor's degree only. Do not provide any other GPA this field.

Fields #26 – 39   Services

Complete these fields only for those project participants who received services from the McNair project during the academic year being reported. **For prior-year participants, enter zeros in these fields.**

These new fields (which replace the old Section III Provision of Services of the previous version of the annual performance report) will allow for the collection of information on the types of services the McNair project most commonly provides to participants while they are active in the project. No one project will choose to offer all of the listed services. A student may or may not receive each of the activities/services listed during the reporting year and should be coded accordingly. Be sure to accurately record individual student information regarding the services received or provided by your project to that individual. Report only on the services the student received from the project during the academic year being reported.

Research refers to any unpaid research activities participants engaged in or research activities that were paid for from non-McNair sources.

McNair internships refer only to those activities for which the legislated stipend of up to $2,800 was paid to students who participated in research activities.

Seminars/workshops means group activities that provide participants with the opportunity to receive information or practice methodology in one or more areas necessary for the successful navigation of the educational system relative to the attainment/completion of their doctoral studies.

Tutoring means individual or small group tutoring provided by a graduate student or a professional staff person.

Academic counseling means assisting students in making educational plans, selecting appropriate courses, meeting academic requirements, and planning for graduation and graduate education.

Financial aid assistance means assisting students individually or in small groups in completing financial aid applications and securing fellowships and other forms of financial assistance for graduate study.

Admission assistance means assisting students in choosing graduate or professional programs and applying for admission to those programs.

Mentoring means professionals, other than project staff, working with project students to expose them to careers that require doctoral degrees.

Exposure to cultural events and academic programs means any project sponsored activities, such as field trips, special lectures, and symposiums, that have as their purpose the improvement of the project participants' academic progress and personal development.

Conferences means project sponsored trips to professional conferences related to the various fields of study proposed to be undertaken by project participants at the graduate level.

Presentations means activities sponsored by the project which give participants an opportunity to formally present their completed research to groups of interested parties, both peer and professional, as well as other interested lay groups.

Graduate school visits/fairs means project sponsored trips to graduate schools or fairs for the purpose of acquainting students with institutions that the project participants may wish to attend to further their education.

Test preparation means activities designed to prepare participants for success on the Graduate Record Exam (GRE) or other test needed for admission to graduate programs.

Teaching related experiences means project sponsored opportunities for participants to gain personal and practical knowledge of the rigors and rewards of the professorate through direct participation, observation or "shadowing" experiences.

Field # 40   Tracking Completed

The new field #40, Tracking Completed, will provide grantees with the means to report whether the student has graduated with a research or professional doctorate or to indicate that the student has not been enrolled in a graduate or undergraduate program for at least one term in the past five years or more. If the student had not enrolled in graduate school within five years, the project would not be required to update the participant record in subsequent performance report submissions.

Field #41   Special Circumstance

The new field #41 Special Circumstances (a 254 byte text box) gives grantees an opportunity to explain any special conditions that may have affected its ability to successfully or accurately report all or some of the student data requested.

SECTION III: PRIOR EXPERIENCE

This section of the annual performance report (Section IV of the previous version of the report) has been completely redesigned to collect specific information on the achievement of the core objectives as contained in CFR 647.32 (Prior Experience). This section of the annual performance report is your opportunity to indicate how successfully your project has been in implementing the goals and objectives outlined in the prior experience criteria. You must provide information in both percentages and numbers for each item under the prior experience criteria.

This information will be used in the assessment of your prior experience score for this reporting year, so please be as accurate as possible, **since no changes/addendums will be accepted after your report is submitted and accepted.** If you did not implement one or more of the objectives, the "Other" text box at the end of the form may be used to discuss the reason(s). This text box may also be used to discuss and update any other objectives/activities not specifically identified in this section on which you would like to provide information.